



## Enrolment Form

(Please refer Product labeling available on cover page of the KIM / last page of the Application form and terms and conditions overleaf)



Enrolment Form No.

Date:

FOR OFFICE USE ONLY (TIME STAMP)

KEY PARTNER / AGENT INFORMATION (Investors applying under Direct Plan must mention "Direct" in ARN column.)					
ARN/ RIA Code	ARN/ RIA Name	Sub-Agent's ARN	Bank Branch Code	Internal Code for Sub-Agent/ Employee	Employee Unique Identification Number (EUIIN)
ARN-					

**Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various factors including the service rendered by the ARN Holder.**

**EUIN Declaration (only where EUIN box is left blank) (Refer Instruction No. i)**

I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/ sales person of the above distributor/sub broker or notwithstanding the advice of inappropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

Sign Here First/ Sole Applicant/ Guardian	Sign Here Second Applicant	Sign Here Third Applicant
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I/We hereby declare and confirm that I/we have read and agree to abide by the terms and conditions of the scheme related documents and the terms & conditions mentioned overleaf of FlexIndex Plan of the relevant Scheme(s) and hereby apply to the Trustees for enrolment under the FlexIndex of the following Scheme(s)/Plan(s)/Options(s). **The ARN holder (AMFI registered Distributor) has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.**

Please (✓) any one	<input type="checkbox"/> NEW REGISTRATION	<input type="checkbox"/> CANCELLATION
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<b>1. Existing Unit holder Information (If you have existing folio, please fill in your folio number, complete details in section 2 and proceed to section 5. Refer Instruction No. b)</b> Folio No. <input type="text"/> <i>The details in our records under the folio number mentioned alongside will apply for this application.</i>		
<b>2. PAN and KYC Compliance Status details (Mandatory)</b>		
<b>KYC# (Mandatory for any amount) [Please tick (✓)]</b>		
<b>First / Sole Applicant / Guardian</b>	PAN # <input type="text"/> or PEKRN # <input type="text"/>	<input type="checkbox"/> Proof Attached
<b>Second Applicant</b>	PAN # <input type="text"/> or PEKRN # <input type="text"/>	<input type="checkbox"/> Proof Attached
<b>Third Applicant</b>	PAN # <input type="text"/> or PEKRN # <input type="text"/>	<input type="checkbox"/> Proof Attached
# Please attach Proof. If PAN/PEKRN/KYC is already validated please don't attach any proof. Refer Instruction No. g and h		
<b>3. Application No. (for new investor)</b>	<input type="text"/>	<i>(New investors who wish to enroll for HDFC Flexindex Plan are required to fill the Enrolment Form along with the respective scheme Application Form)</i>

<b>ACKNOWLEDGEMENT SLIP (To be filled in by the Unit holder)</b>		
Date: <input type="text"/>	<b>HDFC MUTUAL FUND</b> Head Office : HUL House, 2nd Floor, H.T. Parekh Marg, 165-166, Backbay Reclamation, Churchgate, Mumbai - 400 020.	Enrolment Form No.
Received from Mr./Ms./M/s. _____ an application under 'HDFC FLEXINDEX PLAN' for Transfer of Units; from Source Scheme / Plan / Option _____ to Target Scheme / Plan / Option _____ Amount Registered (Rs.) _____		<b>ISC Stamp &amp; Signature</b> <input type="text"/>

4. Unitholder Information Name of the First / Sole Applicant				
Name of the Guardian (in case First / Sole Applicant is a minor)				
Name of the Second Applicant				
Name of the Third Applicant				
5. INVESTMENT DETAILS				
Source Scheme/Plan/Option	<input type="radio"/> HDFC Liquid Fund	<input type="radio"/> HDFC Liquid Fund - Direct Plan	<input type="radio"/> HDFC Floating Rate Debt Fund	<input type="radio"/> HDFC Floating Rate Debt Fund - Direct Plan
	<input type="checkbox"/> Growth Option	<input type="checkbox"/> IDCW Option*	<input type="checkbox"/> Growth Option	<input type="checkbox"/> IDCW Option*
	<input type="radio"/> Daily	<input type="radio"/> Weekly	<input type="radio"/> Daily	<input type="radio"/> Weekly
	<input type="radio"/> HDFC Money Market Fund	<input type="radio"/> HDFC Money Market Fund - Direct Plan	<input type="radio"/> HDFC Overnight Fund	<input type="radio"/> HDFC Low Duration Fund
	<input type="checkbox"/> Growth Option	<input type="checkbox"/> IDCW Option*	<input type="checkbox"/> Growth Option	<input type="checkbox"/> Growth Option
	<input type="radio"/> Daily	<input type="radio"/> Weekly	<input type="checkbox"/> Daily IDCW Option*	<input type="checkbox"/> IDCW Option*
	<input type="radio"/> HDFC Credit Risk Debt Fund	<input type="radio"/> HDFC Credit Risk Debt Fund - Direct Plan	<input type="radio"/> HDFC Medium Term Debt Fund	<input type="radio"/> HDFC Medium Term Debt Fund - Direct Plan
<input type="checkbox"/> Growth Option	<input type="checkbox"/> IDCW Option*	<input type="checkbox"/> Growth Option	<input type="checkbox"/> IDCW Option* (Fortnightly)	
<input type="radio"/> Normal	<input type="radio"/> Half Yearly	<input type="checkbox"/> Growth Option	<input type="checkbox"/> Daily	
<input type="radio"/> HDFC Banking and PSU Debt Fund	<input type="radio"/> HDFC Banking and PSU Debt Fund - Direct Plan	<input type="radio"/> HDFC Ultra Short Term Fund	<input type="radio"/> HDFC Ultra Short Term Fund - Direct Plan	
<input type="checkbox"/> Growth Option	<input type="checkbox"/> Weekly IDCW Option*	<input type="checkbox"/> Growth Option	<input type="checkbox"/> IDCW Option*	
<input type="radio"/> HDFC Short Term Debt Fund	<input type="radio"/> HDFC Short Term Debt Fund - Direct Plan	<input type="radio"/> HDFC Corporate Bond Fund	<input type="radio"/> HDFC Corporate Bond Fund - Direct Plan	
<input type="checkbox"/> Growth Option	<input type="checkbox"/> IDCW Option*	<input type="checkbox"/> Growth Option	<input type="checkbox"/> IDCW Option*	
<input type="radio"/> Normal	<input type="radio"/> Fortnightly	<input type="radio"/> Normal	<input type="radio"/> Quarterly	

\*Income Distribution cum Capital Withdrawal (IDCW) Option

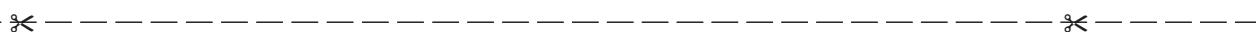
Target Scheme/Plan/Option <sup>5</sup> (For investments in Direct Plan - please mention "Direct" against Scheme Name)	<p><b>Scheme / Plan Name</b> _____</p> <p>(Please <input checked="" type="checkbox"/> Choice of Option) <input type="checkbox"/> Growth Option ^ <input type="checkbox"/> IDCW Option*</p> <p><input type="radio"/> Payout <input type="radio"/> Reinvestment</p> <p>(* Plans under HDFC Index Fund have Growth Option only.) (^ Default Option)</p>																				
Amount Registered (₹) (Minimum ₹ 20,000) (refer Instruction No. 1)	(Amount in words)	(Minimum ₹ 20,000)																			
Four stages of switch execution	BSE SENSEX Levels (Please indicate BSE SENSEX levels such as 32000, 34000, 30000, 36000 etc. in multiples of 100 points.) (refer Instruction No. 5)	Illustration	(Please <input checked="" type="checkbox"/> any one only) (refer Instruction No. 6 & 7)																		
I	Please indicate BSE SENSEX levels such as 32000, 34000, 30000, 36000 etc. in multiples of 100 points.	<table border="1"> <tr> <td><input type="checkbox"/> Flexible Instalment Option**</td> <td><input type="checkbox"/> Fixed Instalment Option</td> </tr> <tr> <td colspan="2">Minimum 10%</td> </tr> <tr> <td colspan="2">25%</td> </tr> <tr> <td colspan="2">Minimum 10%</td> </tr> <tr> <td colspan="2">25%</td> </tr> <tr> <td colspan="2">Minimum 10%</td> </tr> <tr> <td colspan="2">25%</td> </tr> <tr> <td>Total</td> <td>100%</td> </tr> <tr> <td colspan="2">100%</td> </tr> </table>	<input type="checkbox"/> Flexible Instalment Option**	<input type="checkbox"/> Fixed Instalment Option	Minimum 10%		25%		Minimum 10%		25%		Minimum 10%		25%		Total	100%	100%		<input type="checkbox"/> Flexible Instalment Option**
<input type="checkbox"/> Flexible Instalment Option**			<input type="checkbox"/> Fixed Instalment Option																		
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II	<input type="checkbox"/> Fixed Instalment Option																				
III	<input type="checkbox"/> Fixed Instalment Option																				
IV	<input type="checkbox"/> Fixed Instalment Option																				

\*\* Please note that under flexible instalment option the total of percentages should be 100.

If Nil Triggers or few Triggers are activated, the balance of the amount registered under the Plan will be automatically transferred into the Target scheme in 6 equal monthly instalments on 1st of every month (or immediately following Business Day, if that day is not a Business Day), provided the balance amount is not less than the minimum amount of transfer per instalment under Systematic Transfer Plan (STP) the respective Target schemes. Please let us know if you do not receive a confirmation about the STP registration request.

<sup>5</sup>Target Scheme(s) including Direct Plan : All Open Ended Equity / Equity Oriented Schemes [except Exchange Traded Funds]

<b>SIGNATURE(S)</b> Signature(s) should be as it appears on the Application Form and in the same order. If the mode of holding is joint, all Unit holders are required to sign.		
First / Sole Unit holder / Guardian	Second Unit holder	Third Unit holder

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# TERMS & CONDITIONS FOR FLEX INDEX PLAN

The following words and expressions shall have the meaning specified herein:

- HDFC FLEXINDEX PLAN:** HDFC FLEXINDEX PLAN (hereinafter referred to as the 'Plan') is a facility provided to the Unit holders of Source scheme(s) to set triggers based on the predetermined event to enable HDFC Mutual Fund (hereinafter referred to as the 'Fund') to automatically transfer on behalf of the Unit holder(s) the specified percentage of the amount registered in the Source scheme(s) to select Target scheme(s) on the trigger date(s) occurring during the period of 1 year from the date of registration under the Plan. The Flex Index Plan is available only for units held / to be held in Non - demat Mode in the Source and the Target Scheme.
- Currently all open ended schemes (including Direct Plan thereunder) except Exchange Traded Funds are eligible Target Schemes for this facility. For eligible Source Schemes, please refer to application form.

In case of valid application received without any Distributor Code mentioned on the form, the application will be processed under "Direct Plan" of the Target Scheme, even though Direct Plan may not be mentioned in the Target Scheme column.

- Trigger:** Trigger means the predetermined event set by the Unit holder(s) of the Source scheme.
- Amount Registered:** The amount registered is the amount specified by the Unit holder in the enrolment form to avail the Plan.
- Index:** "BSE SENSEX"
- Trigger Date:** The trigger date is the date on which the closing value of Index reaches or crosses the Index level(s) as indicated by the Unit holder(s) in the enrolment form.
- Predetermined event:** Predetermined event is the reaching or crossing of closing Index level(s) as specified by the Unit holder during the period of 1 year from the date of registration under the Plan.
- Plan period:** Plan period is the period of 1 year from the date of registration of the Unit holder under the Plan.

## General Terms and Conditions:

- The Enrolment Form should be completed in **ENGLISH** and in **BLOCK LETTERS** only. Please tick in the appropriate box for relevant options wherever applicable. Do not overwrite. For any correction / changes if made in the Application Form, The Applicant(s) shall enter the correct details pursuant to cancellation of incorrect details and authenticate the corrected details by counter-signing against the changes.
- Existing Unit holders in the Source scheme(s) are required to submit only the **HDFCFLEXINDEX PLAN** Enrolment Form. Existing Unit holders should provide only Folio Number, complete details in section 2 and proceed to Section 5. Unit holders' details and mode of holding (single, jointly, anyone or survivor) will be as per the existing folio number and would prevail over any conflicting information furnished in this form. Unitholders' name should match with the details in the existing folio number, failing which, the application is liable to be rejected.
- Enrolment forms incomplete in any respect are liable to be rejected.** The AMC / Trustee retains the sole and absolute discretion to reject any enrolment form.
- Investors must use separate Enrolment Forms for investing simultaneously in different Source schemes / Plans / Options. Investors can indicate only one Target Scheme in each Enrolment Form.
- Investors are advised to read and understand and agree to abide by the Scheme Information Document(s) of the Scheme(s) and Statement of Additional Information carefully before investing. The Scheme Information Document(s) / Key Information Memorandum(s) of the respective Scheme(s) and Statement of Additional Information are available with the ISCs of HDFC Mutual Fund, brokers/distributors and also displayed at the HDFC Mutual Fund website i.e. [www.hdfcfund.com](http://www.hdfcfund.com)

### f. Load structure:

The amount transferred from the Source Scheme to the Target Scheme shall be effected by redeeming units of Source Scheme at Applicable NAV, **after payment of Exit Load**, if any, and subscribing to the units of the Target Scheme at Applicable NAV.

### Exit Load [For Target Scheme(s)]:

Applicable Exit Load, if any, in the Target Scheme / Plan / Option as on the date of enrollment of FLEXINDEX Plan shall apply.

### g. Permanent Account Number (PAN)

SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) {Except as mentioned below} irrespective of the amount of investment. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her father or mother or the guardian, as the case may be. Applications not complying with the above requirement may not be accepted/ processed. PAN card copy is not required separately if KYC acknowledgement letter is with with PAN number.

For further details, please refer Section 'Permanent Account Number' under Statement of Additional Information available on our website [www.hdfcfund.com](http://www.hdfcfund.com).

### PAN Exempt Investments

PAN Exempt KYC Reference Number (PEKRN) holders may enroll for this facility. For further details on PAN exempt Investments, refer Instructions of Scheme Application Form or Statement of Additional Information. However, if the amount per installment is Rs.50,000 or more, in accordance with the extant Income Tax rules, investors will be required to furnish a copy of PAN to the Mutual Fund.

### h. Know Your Customer (KYC) Compliance

Investors should note that it is mandatory for all registrations for Flex Index Plan to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application and attach proof of KYC Compliance viz. KYC Acknowledgement Letter. For more details, please refer to the Statement of Additional Information ('SAI') available on our website [www.hdfcfund.com](http://www.hdfcfund.com)

### i. Investment through Distributors

Distributors / Agents are not entitled to distribute units of mutual funds unless they are registered with Association of Mutual Funds in India (AMFI). Every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the Employee Unique Identification Number (EUIN) obtained by him/her from AMFI in the Application Form. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor, please ensure that the EUIN is correctly filled up in the Application Form. However, in case of any exceptional cases where there is no interaction by the employee/ sales person/relationship manager of the distributor/sub broker with respect to the transaction and EUIN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form. For further details on EUIN you may kindly refer to the instructions of the Scheme Application Form or Statement of Additional Information.

These requirements do not apply to Overseas Distributors.

**New cadre distributors:** New cadre distributors are permitted to sell eligible schemes of the Fund (details of eligible scheme is available on [www.hdfcfund.com](http://www.hdfcfund.com)) They also hold an EUIN which must be quoted in the application form. In case your application through such distributor is not for an eligible scheme, it is liable to be rejected.

### Direct Investments

Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.

### Terms and Conditions for HDFC FLEXINDEX PLAN:

- The minimum Unit holder's account balance or a minimum amount of investment in the Source scheme at the time of enrolment under the Plan should be Rs. 20,000/- and in multiples of Rs. 1,000/- thereafter.

However, the Unit holder has to comply with the provision of Minimum Application Amount in the Source scheme as mentioned in the Scheme Information Document(s)/ Key Information Memorandum(s).

The provision of 'Minimum Redemption Amount' as specified in the Scheme Information Document(s) of the Source schemes will not be applicable for HDFC FLEXINDEX PLAN. Whereas, the provision of 'Minimum Application Amount' specified in the Scheme Information Documents of the Target schemes will be applicable for HDFC FLEXINDEX PLAN.

- The Unit holders of the Source scheme(s) have to set triggers based on the predetermined event.

3. On occurrence of predetermined events, the Fund on behalf of the Unit holders will automatically transfer the specified percentage of the amount registered in the Source scheme(s) to select Target scheme(s) on the trigger date(s).

4a. The trigger date(s) occurring during the period of 1 year from the date of registration of the Unit holder under the Plan shall only be covered.

4b. In respect of the enrolments made in the Target Scheme(s) under the Plan, the Load Structure prevalent at the time of enrolment shall govern the investments made during the tenure of the Plan.

5. There will be four blank spaces in the form for the Unit holder to indicate the closing Index levels of his choice. **Investors are compulsorily required to fill all four Index levels otherwise the form would be rejected. The Index levels filled in by the Unit holder must be in multiples of 100 points, e.g. 32000, 34000, 30000, 36000 etc. as index levels.** Index levels in ascending order or descending order or vice-a-versa or combination of both may be indicated.

6. Unit holders under the Plan are offered two enrolment options viz. Flexible Instalment option and Fixed Instalment option. Unit holders must use a separate form for enrolling under each option. In case valid enrolment forms are received without indicating any choice of option, the default option considered for processing the form will be Fixed Instalment option.

7. Under Flexible Instalment option, the minimum percentage to be indicated against each Index level trigger is 10% and in multiples of 1% thereafter and under Fixed Instalment option the percentage indicated against each Index level trigger is fixed at 25%. **The cumulative percentage under each option must be equal to 100.**

8. The amount registered under the Plan as indicated in (1) above will be considered for calculating either flexible or fixed percentage (as opted by the Unit holders).

9. On the trigger date, the specified percentage of the amount registered will be transferred in the Target Scheme.

10. Upon transfer of the registered amount into the Target scheme, the transaction will be processed by creation of units at the closing NAV of the same day i.e. the trigger date. **Once a transaction is processed, the same will not be reversed and it will be final and binding upon the Unit holder.**

11. The AMC will require atleast 7 calendar days from the date of submission of valid enrolment forms to register the Unit holder under the Plan. Therefore, in the intervening period i.e. between the date of submission of the enrolment form and the date of registration, if any of the triggers (i.e. closing Index levels) as indicated by the unit holder is reached or crossed, the same will not be taken into consideration for activation of the Plan. Upon registration the Unit holders will be sent a confirmation by mail or email or SMS (as opted by the Unit holder). **The amount registered as mentioned in (1) above, must be available in the Source scheme at the time of registration.**

12. The trigger once activated and processed, becomes inactive. For e.g. if the Trigger is activated at Index level of 32000 on the Trigger date and the specified percentage of the registered amount is transferred to the Target scheme and the said trigger becomes inactive, and subsequently, in case the Index level again touches 32,000 at a later date during the period of the Plan, the Trigger being inactive, will not be processed.

13. If on a particular Business Day the trigger gets activated in such a manner that two or more Index levels are reached or crossed, the transactions will be processed by transferring the cumulative percentages of the amount registered against each of the triggered levels into the Target scheme. For e.g. if the Unit holder has enrolled in the following option:

Serial no.	Index Levels	% to be switched
1	32000	25
2	30000	25
3	34000	25
4	36000	25

Assume the following scenarios:

Opening Index Level on April 1, 2018: 33000 points. The closing Index Level touches 29000 points. As a result 2 Index levels are triggered, one at 32000 and second at 30000, which means 50% of the registered amount will be switched into the select Target scheme. In the above example if Rs. 1 lac has been enrolled for the trigger plan, then Rs. 50,000 will be

## TERMS & CONDITIONS FOR FLEX INDEX PLAN

switched into the select Target scheme and the units will be allotted at the closing NAV of April 1, 2018.

14. For all predetermined events the amount registered under the Plan shall be computed based on the value of the unit balance in the Source scheme, prevailing on the respective trigger date(s). The transactions will be processed by the Fund only after verifying that the registered amount on each trigger date is equal to or more than the percentage value of the flexible / fixed trigger options (as indicated by the Unit holders). In case the value of the unit balance in the Source scheme on the trigger date is less than the percentage value of the flexible/fixed trigger options or the balance is nil, then the said trigger will not be processed.

For e.g. The trigger gets activated. Assuming that flexible / fixed trigger option indicated by the Unit holder against the trigger is 25%. On the trigger date the balance in the Source scheme is Rs. 23,000/-, whereas the amount registered for the facility is Rs. 1,00,000/-, the trigger will not be processed as the balance in the Source Scheme is less than the percentage value of the flexible / fixed trigger options (i.e. Rs. 25,000, being 25% of Rs. 1,00,000). Subsequently, at a later date, in case the trigger gets activated again and the balance available in the Source scheme is equal to or more than the registered amount, the trigger will be processed.

15. Whenever, redemption request is received from the Unit holder in the Source scheme and the event also gets triggered on the same date (i.e. the date of redemption request and the trigger date coincide), then, redemption transaction will always be processed first.

16. In case there is an all unit redemption and Unit balance in the Source scheme is reduced to Nil even then the Plan will continue for a period of 1 year from the date of registration.

17. On completion of 1 year from the date of registration, in case Nil Triggers or few Triggers are activated, then the balance of the amount registered under the Plan will be automatically transferred into the Target scheme in 6 equal monthly instalments on 1st of every month (or immediately following Business Day, if that day is not a Business Day), provided the balance amount is not less than the minimum amount of transfer per instalment under Systematic Transfer Plan (STP) of the respective Target schemes. Load Structure as prevailing under STP will be applicable and the transfers will be subject to STP terms and conditions.

18. In case, the balance amount registered under the Plan falls below the minimum amount of transfer per instalment under STP as indicated in (17) above, the same shall continue to remain invested in the Source scheme.

19. The Unit holders will have an option of multiple registrations in the Plan. Separate forms must be used for each registration.

20. HDFC FLEXINDEX PLAN will be automatically terminated if all units of Source Scheme are pledged or upon receipt of intimation of death of the Unit holder.

21. Unit holders will have the right to discontinue the Plan at any time by sending a written request to the ISC. Notice of such discontinuance shall be made effective within 7 calendar days from the date of receipt of the said request. Triggers, which may get activated until the effective date of discontinuation shall be processed in accordance with the terms, laid hereinabove.

22. HDFC Mutual Fund (Fund)/ HDFC Asset Management Company Limited (HDFC AMC) reserves the right to change the indices under the Plan on a prospective basis.

23. The Fund/ HDFC AMC reserves the right to change the terms and conditions of HDFC FLEXINDEX PLAN. The Fund/ HDFC AMC also reserves the right to withdraw the Plan.

24. If a Trigger is not achieved and/ or implemented due to reasons which are beyond the control of the Fund / HDFC AMC, shall not be held responsible. HDFC FLEXINDEX PLAN is only a facility extended by HDFC Mutual Fund for the convenience of the Unit holders and does not form part of any Scheme objective.

25. **HDFC FLEXINDEX PLAN in any manner whatsoever is not an assurance or promise or guarantee on part of HDFC Mutual Fund/ HDFC AMC to the Unit holders in terms of returns or capital appreciation or minimization of loss of capital or otherwise.**

26. The BSE Indices is published by Asia Index Private Limited ("AIPL"), which is a wholly owned subsidiary of BSE Limited ("BSE"). BSE® and SENSEX® are registered trademarks of BSE. BSE shall not be held liable or responsible in any manner whatsoever for any loss arising to any investor under HDFC FLEXINDEX PLAN. This Plan is not sponsored, endorsed, sold or promoted by any of these entities.